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5-21-03

**PATENT**  
Attorney Docket No. 212159

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Shelest et al.

Application No. 10/010,352

Filed: November 13, 2001

Group Art Unit: 1765

Examiner: Unassigned

**RECEIVED**  
APR 14 2003  
GROUP 1700

For: **METHODS AND SYSTEMS FOR  
UNILATERAL AUTHENTICATION  
OF MESSAGES**

**CERTIFICATE OF MAILING**

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below and is addressed to: Commissioner for Patents, Box IDS, Washington, D.C. 20231.

Date: 4-10-03 Susan Metz

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
- or*
- ☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- ☒ Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.

- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 09/833,922	April 12, 2001		X	
2. 10/242,705	September 12, 2002		X	
3. Attorney Docket No. 221234	Filed on March 27, 2003		X	

**Statement under 37 CFR 1.97(e)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ No fee is owed by the applicant(s).  
☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

In re Appln. of Shelest et al.  
Application No. 10/010,352

**Method of Payment of Fees**

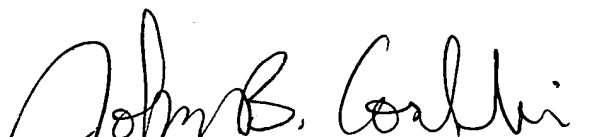
- ☐ Attached is a check in the amount of \$ .  
☐ Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of this communication is enclosed for that purpose.)

**Authorization to Charge Additional Fees**

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions as to Overpayment**

- ☒ Credit Account No. 12-1216.  
☐ Refund



John Conklin, Reg. No. 30,369  
LEYDIG, VOIT & MAYER, LTD.  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
Chicago, Illinois 60601-6780  
(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)

Date: April 10, 2003

In re Application of: SHELEST et al.  
Application No. 10/010,352  
Filed: November 13, 2001  
For: METHODS AND SYSTEMS FOR UNILATERAL AUTHENTICATION OF MESSAGES

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

Transmitted herewith is a response to an office action in the subject application.

- ☐ Applicants claim small entity status of this application under 37 CFR 1.27.
- ☐ Petition for Extension of Time
- ☐ Applicants petition for a one-month extension of time under 37 CFR 1.136, the fee for which is \$110.00 (enclosed).
- ☐ Applicants believe that no petition for an extension of time is necessary. However, to the extent that such petition is deemed necessary, Applicants hereby petition for a sufficient extension of time to render the present submission timely. Please charge Deposit Account No. 12-1216 for the appropriate petition fee.
- ☐ No additional claim fee is required.
- ☒ Other: PRELIMINARY AMENDMENT A

The claim fee has been calculated as shown below:

					SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	EXTRA CLAIMS PRESENT	RATE	ADDIT. CLAIM FEE	RATE	ADDIT. CLAIM FEE
TOTAL	22	MINUS	22	=0	x 9=	\$	x 18=	\$0.00
INDEPENDENT	13	MINUS	7	=6	x 42=	\$	x 84=	\$504.00
<input type="checkbox"/>	FIRST PRESENTATION OF MULTIPLE CLAIM				+ 140=	\$	+ 280=	\$0.00
					TOTAL	\$	TOTAL	\$504.00

- ☐ Please charge my Deposit Account No. 12-1216 in the amount of \$ . A duplicate copy of this sheet is attached.
- ☒ A check in the amount of \$504.00 is attached.
- ☒ The Commissioner is hereby authorized to charge any deficiencies in the following fees associated with this communication or credit any overpayment to Deposit Account No. 12-1216. A duplicate copy of this sheet is attached.
- ☒ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.
- ☒ Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

LEYDIG, VOIT & MAYER, LTD.

By

John B. Conklin, Reg. No. 30,369

Leydig, Voit & Mayer, Ltd.  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
Chicago, Illinois 60601-6780  
(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)

Date: March 25, 2002

In re Application of: SHELEST et al.

Application No. 10/010,352

Filed: November 13, 2001

For: METHODS AND SYSTEMS FOR UNILATERAL AUTHENTICATION OF MESSAGES

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

APR 04 2002

Sir:

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- ☐ Please charge my Deposit Account No. 12-1216 in the amount of \$ . A duplicate copy of this sheet is attached.
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Respectfully submitted,

LEYDIG, VOIT &amp; MAYER, LTD.

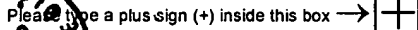
By:

John B. Conklin, Reg. No. 30,369

Leydig, Voit & Mayer, Ltd.  
Two Prudential Plaza, Suite 4900  
180 North Stetson  
Chicago, Illinois 60601-6780  
(312) 616-5600 (telephone)  
(312) 616-5700 (facsimile)

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT


Sheet	2	of	2
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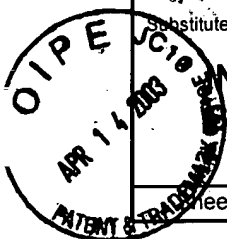
Application Number	10/010,352
Filing Date	November 13, 2001
First Named Inventor	Art Shelest et al.
Group Art Unit	1765
Examiner Name	Unassigned
Attorney Docket Number	212159

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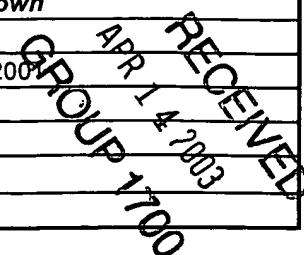
Examiner Signature		Date Considered	
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- \* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).
- + An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).

Please type a plus sign (+) inside this box → 



Substitute for form 1449A/B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number	10/010,352
		Filing Date	November 13, 2001
		First Named Inventor	Art Shelest
		Group Art Unit	1765
		Examiner Name	Unassigned
		Attorney Docket Number	212159
Sheet	1	of	2



U.S. PATENT DOCUMENTS						
Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	A A	5,473,691		Menezes et al.	12/05/1995	11/05/1993
	A B	5,673,319		Bellare et al.	09/30/1997	02/06/1995
	A C	5,729,608		Janson et al.	03/17/1998	07/27/1993
	A D	5,778,065		Hauser et al.	07/07/1998	02/08/1996
	A E	5,892,904		Atkinson et al.	04/06/1999	12/06/1996
	A F	6,367,012	B1	Atkinson et al.	04/02/2002	12/06/1996

OTHER - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation		
			Yes	No**	
	A G	AURA et al., <i>Security of Internet Location Management</i> , Proc. 18 <sup>th</sup> Annual Computer Security Applications Conference, IEEE Press, Nevada (December 2002)			
	A H	BLAZE et al., <i>The KeyNote Trust-Management System Version 2</i> , IETF Network Working Group, RFC 2704 (September 1999) pp. 1-35			
	A I	EASTLAKE, <i>Domain Name System Security Extensions</i> , IETF Network Working Group, RFC 2535 (March 1999) pp. 1-44			
	A J	ELLISON et al., <i>SPKI Certificate Theory</i> , IETF Network Working Group, RFC 2693 (September 1999) pp. 1-41			
	A K	FERGUSON et al., <i>Network Ingress Filtering: Defeating Denial of Service Attacks Which Employ IP Source Address Spoofing</i> , IETF Network Working Group, RFC 2827 (May 2000) pp. 1-10			
	A L	HOUSLEY et al., <i>Internet X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL) Profile</i> , IETF Network Working Group, RFC 3280 (April 2002) pp. 1-66			
	A M	KARN et al., <i>Photuris: Session-Key Management Protocol</i> , IETF Network Working Group, RFC 2522 (March 1999) pp. 1-75			
	A N	MONTENEGRO et al., <i>Statistically Unique and Cryptographically Verifiable (SUCV) Identifiers and Addresses</i> , Proc. ISOC Symposium on Network and Distributed System Security (NDSS 2002), San Diego (February 2002) pp. 1-13			
	A O	MOSKOWITZ, <i>Host Identity Payload and Protocol</i> , Internet Draft <draft-ietf-moskowitz-hip-05.txt> (October 2001) (work in progress) pp. 1-28			
	A P	NARTEN et al., <i>Privacy Extensions For Stateless Address Autoconfiguration In IPv6</i> , IETF Network Working Group, RFC 3041(January 2001) pp. 1-16			
	A Q	NARTEN et al., <i>Neighbor Discovery for IP Version 6 (IPv6)</i> , IETF Network Working Group, RFC 2461 (December 1998) pp. 1-87			
	A R	NIKANDER, <i>A Scalable Architecture for IPv6 Address Ownership</i> , Internet Draft <draft-nikander-ipng-pbk-addresses-00.txt> (work in progress) (March 2001) pp. 1-27			
	A S	OKAZAKI et al., <i>Securing MIPv6 Binding Updates Using Address Based Keys (ABKs)</i> , Internet-Draft <draft-okazaki-mobileip-abk-01.txt> (October 2002) (work in progress) pp. 1-26			
	A T	ROE et al., <i>Authentication of Mobile IPv6 Binding Updates and Acknowledgments</i> , Internet Draft <draft-roe-mobileip-updateauth-02.txt> (February 2002) (work in progress) pp. 1-22			
	A U	SAVOLA, <i>Security of IPv6 Routing Header and Home Address Options</i> Internet Draft <draft-savola-ipv6-rh-ha-security-.03.txt> (work in progress) (December 2002)			
	A V	SHAMIR, <i>Identity-Based Cryptosystems and Signature Schemes</i> , Advances in Cryptology: Proc. CRYPTO 84, Volume 196 of LNCS (1998) pp. 47-53			
	A W	ARKKO et al., <i>Securing IPv6 Neighbor and Router Discovery</i> , Proc. 2002 ACM Workshop on Wireless Security (WiSe) (ACM Press ) (September 2002) pp. 77-86			